

UR PLAN: ADMINISTRATIVE
REQUIREMENTS

§ 456.405 Description of UR review function: How and when.

The UR plan must include a written description of—

- (a) How UR is performed in the ICF; and
- (b) When UR is performed.

§ 456.406 Description of UR review function: Who performs UR; disqualification from performing UR.

(a) The UR plan must include a written description of who performs UR in the ICF.

(b) UR must be performed using a method specified under § 456.401(b) by a group of professional personnel that includes—

- (1) At least one physician;
- (2) In an ICF that cares primarily for mental patients, at least one individual knowledgeable in the treatment of mental diseases; and
- (3) In an institution for the mentally retarded, at least one individual knowledgeable in the treatment of mental retardation.

(c) The group performing UR may not include any individual who—

- (1) Is directly responsible for the care of the recipient whose care is being reviewed;
- (2) Is employed by the ICF; or
- (3) Has a financial interest in any ICF.

§ 456.407 UR responsibilities of administrative staff.

The UR plan must describe—

- (a) The UR support responsibilities of the ICF's administrative staff; and
- (b) Procedures used by the staff for taking needed corrective action.

UR PLAN: INFORMATIONAL
REQUIREMENTS

§ 456.411 Recipient information required for UR.

The UR plan must provide that each recipient's record include information needed to perform UR required under this subpart. This information must include, at least, the following:

- (a) Identification of the recipient.
- (b) The name of the recipient's physician.

(c) The name of the qualified mental retardation professional (as defined under § 442.401 of this subchapter), if applicable.

(d) Date of admission, and dates of application for and authorization of Medicaid benefits if application is made after admission.

(e) The plan of care required under § 456.372;

(f) Initial and subsequent continued stay review dates described under §§ 456.433 and 456.434.

(g) Reasons and plan for continued stay, if the attending physician or qualified mental retardation professional believes continued stay is necessary.

(h) Other supporting material that the UR group believes appropriate to be included in the record.

§ 456.412 Records and reports.

The UR plan must describe—

- (a) The types of records that are kept by the group performing UR; and
- (b) The type and frequency of reports made by the UR group, and arrangements for distribution of the reports to appropriate individuals.

§ 456.413 Confidentiality.

The UR plan must provide that the identities of individual recipients in all UR records and reports are kept confidential.

UR PLAN: REVIEW OF NEED FOR
CONTINUED STAY

§ 456.431 Continued stay review required.

(a) The UR plan must provide for a review of each recipients continued stay in the ICF at least every 6 months to decide whether it is needed.

(b) The UR plan requirement for continued stay review may be met by—

- (1) Reviews that are performed in accordance with the requirements of §§ 456.432 through 456.437; or
- (2) Reviews that meet on-site inspection requirements under subpart I if—
 - (i) The composition of the independent professional review team under subpart I meets the requirements of § 456.406; and